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UTILITY PATENT APPLICATION TRANSMITTAL <small>(Only for new nonprovisional applications under 37 C.F.R. § 1.53(b))</small>	Attorney Docket No.	FINN-002
	First Inventor or Application Identifier	Gregory M. Finn
	Title	Investment System and Method
	Express Mail Label No.	EK594325934US

APPLICATION ELEMENTS <small>See MPEP chapter 600 concerning utility patent application contents.</small>	ADDRESS TO: Box Patent Application Washington, DC 20231
1. <input type="checkbox"/> * Fee Transmittal Form (e.g., PTO/SB/17) (Submit an original and a duplicate for fee processing) 2. <input checked="" type="checkbox"/> Specification [Total Pages 50] (preferred arrangement set forth below) - Descriptive title of the Invention - Cross References to Related Applications - Statement Regarding Fed sponsored R & D - Reference to Microfiche Appendix - Background of the Invention - Brief Summary of the Invention - Brief Description of the Drawings (if filed) - Detailed Description - Claim(s) - Abstract of the Disclosure 3. <input checked="" type="checkbox"/> Drawing(s) (35 U.S.C. 113) [Total Sheets 7] 4. Oath or Declaration [Total Pages 1] a. <input type="checkbox"/> Newly executed (original or copy) b. <input type="checkbox"/> Copy from a prior application (37 C.F.R. § 1.63(d)) (for continuation/divisional with Box 16 completed) i. <input type="checkbox"/> <u>DELETION OF INVENTOR(S)</u> Signed statement attached deleting inventor(s) named in the prior application, see 37 C.F.R. §§ 1.63(d)(2) and 1.33(b).	5. <input type="checkbox"/> Microfiche Computer Program (Appendix) 6. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary) a. <input type="checkbox"/> Computer Readable Copy b. <input type="checkbox"/> Paper Copy (identical to computer copy) c. <input type="checkbox"/> Statement verifying identity of above copies
ACCOMPANYING APPLICATION PARTS	
7. <input type="checkbox"/> Assignment Papers (cover sheet & document(s)) 8. <input type="checkbox"/> 37 C.F.R. § 3.73(b) Statement <input type="checkbox"/> Power of Attorney (when there is an assignee) 9. <input type="checkbox"/> English Translation Document (if applicable) 10. <input type="checkbox"/> Information Disclosure Statement (IDS)/PTO-1449 <input type="checkbox"/> Copies of IDS Citations 11. <input type="checkbox"/> Preliminary Amendment 12. <input checked="" type="checkbox"/> Return Receipt Postcard (MPEP 503) (Should be specifically itemized) * Small Entity <input type="checkbox"/> Statement filed in prior application, Statement(s) <input type="checkbox"/> Status still proper and desired (PTO/SB/09-12) 13. <input type="checkbox"/> Certified Copy of Priority Document(s) (if foreign priority is claimed) 14. <input type="checkbox"/> Other: _____ 15. <input type="checkbox"/> Other: _____	

* NOTE FOR ITEMS 1 & 13: IN ORDER TO BE ENTITLED TO PAY SMALL ENTITY FEES, A SMALL ENTITY STATEMENT IS REQUIRED (37 C.F.R. § 1.27), EXCEPT IF ONE FILED IN A PRIOR APPLICATION IS RELIED UPON (37 C.F.R. § 1.28).

16. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No: _____/_____

Prior application information: Examiner _____ Group / Art Unit: _____

For CONTINUATION or DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 4b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

17. CORRESPONDENCE ADDRESS

☐ Customer Number or Bar Code Label or ☒ Correspondence address below
 (Insert Customer No. or Attach bar code label here)

Name	Bruce G. Bernstein				
Address	104 Woodside Road Apartment B105				
City	Haverford	State	PA	Zip Code	19041
Country	USA	Telephone	610-649-9929	Fax	

Name (Print/Type)	Bruce G. Bernstein	Registration No. (Attorney/Agent)	34,550
Signature	<i>Bruce G. Bernstein</i>	Date	April 12, 2000

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

April 12, 2000

ATTORNEY DOCKET NO. Finn-002

Assistant Commissioner for Patents
Box PATENT APPLICATION
Washington, D.C. 20231

Re: New U.S. Patent Application
Title: INVESTMENT SYSTEM AND METHOD
Inventors: Gregory M. Finn and Bruce G. Bernstein

Sir:

We enclose the following papers for filing in the United States Patent and Trademark Office in connection with the above-referenced patent application:

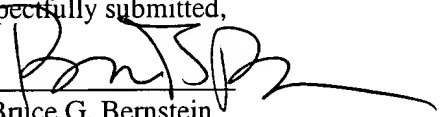
1. Utility Patent Application Transmittal (Form PTO/SB/05);
2. Application - 50 pages, including 7 independent claims and 7 claims total;
3. Drawings - 7 sheets of informal drawings, including Figs. 1, 2, 3, 4A-C, 5, 6, 7A-C, and 8; and
4. Return Receipt Postcard (MPEP 503).

This application is being filed under the provisions of 37 C.F.R. § 1.53(f). Applicants await notification from the Patent and Trademark Office of the time set for filing the Declaration and payment of the filing fee.

Please accord this application a serial number and filing date.

Respectfully submitted,

By


Bruce G. Bernstein
Reg. No. 34,550

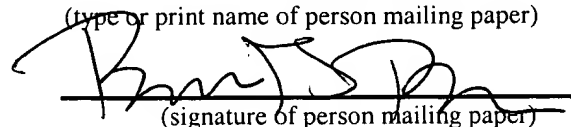
104 Woodside Rd.
Apartment B105
Haverford, PA 19041
(610) 649-9929

Certification Under 37 C.F.R. Section 1.10

I hereby certify that this New Application Transmittal and the documents referred to as enclosed therein are being deposited with the United States Postal Service on this date April 12, 2000, in an envelope as "Express Mail Post Office to Addressee" Mail Label Number EK594325934US addressed to Commissioner of Patents and Trademarks, Washington, D.C. 20231.

Bruce G. Bernstein

(type or print name of person mailing paper)


(signature of person mailing paper)